

DEPARTMENT OF TRANSPORTATION

DES-OE MS #43
1727 30TH Street, 2ND Floor
Sacramento, CA 95816



**** WARNING ** WARNING ** WARNING ** WARNING ****
This document is intended for informational purposes only.

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August 13, 2003

06-Tul-198-R13.7/R18.5
06-431004
ACSTPHG-P198(042)E

Addendum No. 1

Dear Contractor:

This addendum is being issued to the contract for construction on State highway in TULARE COUNTY IN VISALIA FROM WOODLAND STREET OVERCROSSING TO 0.3 KM WEST OF LOVERS LANE UNDERCROSSING.

Submit bids for this work with the understanding and full consideration of this addendum. The revisions declared in this addendum are an essential part of the contract.

Bids for this work will be opened on August 26, 2003.

This addendum is being issued to revise the Notice to Contractors and Special Provisions and the Proposal and Contract.

In the Special Provisions, Section 2-1.02B, "SUBMISSION OF DBE INFORMATION," is replaced as attached.

In the Special Provisions, Section 3, "AWARD AND EXECUTION OF CONTRACT," is replaced as attached.

In the Proposal and Contract, the section, "CALTRANS BIDDER – DBE- INFORMATION," is replaced as attached.

In the Proposal and Contract, the section, "DBE INFORMATION GOOD FAITH EFFORTS," is replaced as attached.

To Proposal and Contract book holders:

Indicate receipt of this addendum by filling in the number of this addendum in the space provided on the signature page of the proposal.

Submit bids in the Proposal and Contract book you now possess. Holders who have already mailed their book will be contacted to arrange for the return of their book.

Inform subcontractors and suppliers as necessary.

Addendum No. 1
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August 13, 2003

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This office is sending this addendum by confirmed facsimile to all book holders to ensure that each receives it. A copy of this addendum and the modified wage rates are available for the contractor's use on the Internet Site:

http://www.dot.ca.gov/hq/esc/oe/weekly_ads/addendum_page.html

If you are not a Proposal and Contract book holder, but request a book to bid on this project, you must comply with the requirements of this letter before submitting your bid.

Sincerely,

ORIGINAL SIGNED BY

REBECCA D. HARNAGEL, Chief
Office of Plans, Specifications & Estimates
Office Engineer

Attachments

2-1.02B SUBMISSION OF DBE INFORMATION

All bidders shall complete the "CALTRANS BIDDER - DBE INFORMATION" form included in the Proposal and submit it WITH THE BID.

Failure to submit the "CALTRANS BIDDER - DBE INFORMATION" form with the bid will be grounds for finding the bid nonresponsive.

The bidder shall submit written confirmation from each DBE that the DBE is participating in the contract, and include the confirmation with the submittal of the bid or submit it by the time specified for submittal of the GOOD FAITH EFFORT (GFE) DOCUMENTATION form. A copy of a DBE's quote will serve as written confirmation that the DBE is participating in the contract.

Where the bidder has not met the designated DBE goal, it must submit good faith efforts (GFE) documentation to establish that, prior to the bid, it made adequate good faith efforts to meet the goal.

Bidders are cautioned that even though their "CALTRANS BIDDER - DBE INFORMATION" form indicates they will meet the stated DBE goal, they should also submit their GFE documentation within the time specified herein, to protect their eligibility for award of the contract in the event the Department, in its review, finds that the goal has not been met.

The apparent successful bidder (low bidder), the second low bidder and the third low bidder shall complete and submit the GOOD FAITH EFFORT (GFE) DOCUMENTATION form, if they have not met the goal, to the Department of Transportation, 1120 N Street, Room 0200, MS #26, Sacramento, California 95814 so the information is received by the Department no later than 4:00 p.m. ON THE FOURTH DAY, not including Saturdays, Sundays and legal holidays, following bid opening. GFE documentation sent by U.S. Postal Service certified mail with return receipt and certificate of mailing and mailed on or before the third day, not including Saturdays, Sundays and legal holidays, following bid opening will be accepted even if it is received after the fourth day following bid opening. Other bidders need not submit GFE documentation unless requested to do so by the Department. When a request is made by the Department, the GFE documentation of the other bidders shall be received by the Department within 4 days of the request, not including Saturdays, Sundays and legal holidays, unless a later time is authorized by the Department.

If it is determined that GFE documentation is needed to determine a bidder's eligibility for award, failure of the bidder to have submitted the GFE documentation by the time specified herein will be grounds for finding the bid or proposal nonresponsive.

It is the bidder's responsibility to make enough work available to DBEs and to select those portions of the work or material needs consistent with the available DBEs to meet the goal for DBE participation.

The bidder's "CALTRANS BIDDER - DBE INFORMATION" form shall include the names, addresses and phone numbers of DBE firms that will participate, with a complete description of work or supplies to be provided by each, and the dollar value of each DBE transaction. When 100 percent of a contract item of work is not to be performed or furnished by a DBE, a description of the exact portion of that work to be performed or furnished by that DBE shall be included in the DBE information, including the planned location of that work. The work that a DBE prime contractor has committed to performing with its own forces as well as the work that it has committed to be performed by DBE subcontractors, suppliers and trucking companies will count toward the goal.

The bidder's good faith effort (GFE) documentation shall establish that good faith efforts to meet the DBE goal have been made.

In order to establish the bidder's good faith efforts to meet the DBE goal, the bidder should include the following information and supporting documents, as necessary:

- A. Items of work the bidder has made available to DBE firms. Identify those items of work the bidder might otherwise perform with its own forces and those items that have been broken down into economically feasible units to facilitate DBE participation. For each item listed, show the dollar value and percentage of the total contract. It is the bidder's responsibility to demonstrate that sufficient work to meet the goal was made available to DBE firms.
- B. The names of certified DBEs and the dates on which they were solicited to bid on the project. Include the items of work offered. Describe the methods used for following up initial solicitations to determine with certainty if the DBEs were interested, and the dates of the follow-up. Attach supporting documents such as copies of letters, memos, facsimiles sent, telephone logs, telephone billing statements, and other evidence of solicitation. Bidders are reminded to solicit certified DBEs through all reasonable and available means and provide sufficient time to allow DBEs to respond.
- C. For each item of work made available, the DBEs that provided quotes, the selected firm and its status as a DBE, the price quote for each firm, and the name, address and telephone number for each firm. If the firm selected for the item is not a DBE, provide the reasons for the selection.
- D. The names and dates of each publication in which a request for DBE participation for the project was placed by the bidder. Attach copies of the published advertisements.

- E. The names of agencies, including the firms listed in Section 2-1.02A, "DBE Goal for this Project," and the dates on which they were contacted to provide assistance in contacting, recruiting and using DBE firms. If the agencies were contacted in writing, provide copies of supporting documents.
- F. Descriptions of the efforts made to provide interested DBEs with adequate information about the plans, specifications and requirements of the contract to assist them in responding to a solicitation. Where the bidder has provided information, identify the name of the DBE assisted, the nature of the information provided, and date of contact. Provide copies of supporting documents, as appropriate.
- G. Descriptions of any and all efforts made to assist interested DBEs in obtaining bonding, lines of credit, insurance, necessary equipment, supplies, and materials (excluding supplies and equipment which the DBE subcontractor purchases or leases from the prime contractor or its affiliate). Where such assistance was provided by the bidder, identify the name of the DBE assisted, nature of the assistance offered, and date. Provide copies of supporting documents, as appropriate.
- H. Any additional data to support a demonstration of good faith efforts.

SECTION 3. AWARD AND EXECUTION OF CONTRACT

The bidder's attention is directed to the provisions in Section 3, "Award and Execution of Contract," of the Standard Specifications and these special provisions for the requirements and conditions concerning award and execution of contract.

The award of the contract, if it be awarded, will be made within 30 days after the opening of the proposals if the apparent lowest bidder has met the goal for DBE participation. The award of the contract, if it be awarded, will be made within 60 days after the opening of the proposals if the apparent lowest bidder has not met the goal for DBE participation but has claimed good faith efforts to do so. These periods will be subject to extension for such further periods as may be agreed upon in writing between the Department and the bidders concerned. The award, if made, will be to the lowest responsible bidder whose proposal complies with all the requirements prescribed and who has met the goal for DBE participation or has demonstrated, to the satisfaction of the Department, adequate good faith efforts to do so. Meeting the goal for DBE participation or demonstrating, to the satisfaction of the Department, adequate good faith efforts to do so is a condition for being eligible for award of contract.

The contract shall be executed by the successful bidder and shall be returned, together with the contract bonds, to the Department so that it is received within Yes days, not including Saturdays, Sundays and legal holidays, after the bidder has received the contract for execution. Failure to do so shall be just cause for forfeiture of the proposal guaranty. The executed contract documents shall be delivered to the following address: Department of Transportation MS 43, Attn: Office Engineer, 1727 30th Street, Sacramento, CA 95816.

A "Payee Data Record" form will be included in the contract documents to be executed by the successful bidder. The purpose of the form is to facilitate the collection of taxpayer identification data. The form shall be completed and returned to the Department by the successful bidder with the executed contract and contract bonds. For the purposes of the form, payee shall be deemed to mean the successful bidder. The form is not to be completed for subcontractors or suppliers. Failure to complete and return the "Payee Data Record" form to the Department as provided herein will result in the retention of 31 percent of payments due the contractor and penalties of up to \$20,000. This retention of payments for failure to complete the "Payee Data Record" form is in addition to any other retention of payments due the Contractor.

CALTRANS BIDDER - DBE - INFORMATION

-- DO NOT DETACH --

This information must be submitted **WITH YOUR BID** proposal as specified in Section 2-1.02B, "Submission of DBE Information," of the Special Provisions.

Failure to submit the required DBE information will be grounds for finding the proposal nonresponsive.

DISTRICT-CO.-RTE.-: _____
DISTRICT-CONTRACT NO.: _____
BID AMOUNT: \$ _____
BID OPENING DATE: _____
BIDDER'S NAME: _____
DBE GOAL FROM CONTRACT, %: _____
DBE PRIME CONTRACTOR CERTIFICATION¹: _____

CONTRACT ITEM NO.	ITEM OF WORK AND DESCRIPTION OR SERVICES TO BE SUBCONTRACTED OR MATERIALS TO BE PROVIDED ²	FOR CALTRANS USE ONLY	NAME OF DBEs (Must be certified on the date bids are opened - include Caltrans certification # , DBE address and phone number)	DOLLAR AMOUNT DBE ³
IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Names of the First Tier DBE Subcontractors and their respective item(s) of work listed above shall be consistent, where applicable, with the names and items of work in the "List of Subcontractors" submitted with your bid pursuant to the Subcontractors Listing Law and Section 2-1.01, "General," of the Special Provisions. Copies of the DBE quotes are required PURSUANT TO Section 2-1.02B, "Submission of DBE Information," of the Special Provisions.			Total Claimed Participation	\$ _____ _____ %
1. DBE prime contractors shall enter their DBE certification number. DBE prime contractors shall indicate all work to be performed by DBEs including work performed by its own forces. 2. If 100% of item is not to be performed or furnished by DBE, describe exact portion of item to be performed or furnished by DBE. 3. See Section 2-1.02, "Disadvantaged Business Enterprise," to determine the credit allowed for DBE firms.			_____ Signature of Bidder _____ Date (Area Code) Tel. No. _____ Person to Contact (Please Type or Print)	

CT Bidder - DBE Information (06-02-03)

CONTRACT NO. 06-431004
 REPLACED PER ADDENDUM NO. 1 DATED AUGUST 13, 2003

GOOD FAITH EFFORTS DOCUMENTATION

Low, second low and third low bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the "CALTRANS BIDDER - DBE INFORMATION" form indicates that the bidder has met the DBE goal. This will protect the bidder's eligibility for award of the contract if Caltrans determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submittal of only the "CALTRANS BIDDER - DBE INFORMATION" form may not provide sufficient documentation to demonstrate that an adequate good faith effort was made.

The following items are listed in the Section entitled "Submission of DBE Information" of the Special Provisions:

- A. Items of work the bidder made available to DBE firms. Identify those items of work the bidder might otherwise perform with its own forces and those items that have been broken down into economically feasible units to facilitate DBE participation. For each item listed, show the dollar value and percentage of the total contract. It is the bidder's responsibility to demonstrate that sufficient work to meet the goal was made available to DBE firms.

Item of Work Offered	Bidder Normally Performs Item (Y/N)	Item Broken Down to Facilitate Participation (Y/N)	Amount (\$)	Percentage of Contract

- B. The names of certified DBEs and the dates on which they were solicited to bid on this project. Include the items of work offered and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested. Attach copies of solicitations, telephone records, fax confirmations, etc.

Names of DBEs Solicited	Date of Initial Solicitation	Item(s) of Work	Follow Up Methods and Dates

- C. For each item of work made available, the selected firm and its status as a DBE, the DBEs that provided quotes, the price quote for each firm, and the price difference for each DBE if the selected firm is not a DBE:

Item(s) of Work	Name of Selected Firm	DBE or non-DBE	Name of Rejected Firm	Quote (\$)	Price Difference (\$)

If the firm selected for the item is not a DBE, provide the reasons for the selection on a separate sheet and attach.

Names, addresses, and phone numbers for the firms listed above:

- D. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder. Attach copies of published advertisements or proofs of publication:

Publications	Dates of Advertisement

- E. The names of agencies and the dates on which they were contacted to provide assistance in contacting, recruiting and using DBE firms. If the agencies were contacted in writing, provide copies of supporting documents.

Name of Agency		Method & Date of Contact		Results

- F. Efforts made to provide interested DBEs with adequate information about the plans, specifications, and requirements of the contract to assist them in responding to a solicitation. Identify the DBE assisted, the information provided, and the date of contact. Provide copies of supporting documents.

- G. Efforts made to assist interested DBEs in obtaining bonding, lines of credit, insurance, necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate. Identify the DBE assisted, the assistance offered, and the date. Provide copies of supporting documents.

- H. Any additional data to support a demonstration of good faith efforts:

NOTE: USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.